**PENSION PROS**  
 **ROBS Plan Questionnaire**  
  
The information provided will be used to prepare your corporate application, obtain EIN #’s, prepare plan/trust documents, conduct a fair market value appraisal and secure a fidelity bond for your plan.

**Client Information**Full name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Spouse/Partner name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Address:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ County \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Phone:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Alt phone:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Email:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Social Security #\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_We need this to obtain the EIN #s and surety bond  
Birthdate:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Current Employment Status**Employed\_\_\_ Self-employed\_\_\_If employed: Leaving soon to buy business\_\_\_ Not leaving\_\_\_  
If not leaving – I have confirmed that my employer will allow access to my funds and I have confirmed with the plan custodian that the funds can be transferred. **YES**\_\_\_\_ **NO**\_\_\_\_

**Retirement Account Information**Have there been any rollovers with any of your retirement accounts in the last 12 months?  
Yes\_\_\_ No\_\_\_ If yes, please explain: Date/Reason\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Existing Plan type: (circle) 401k 403b IRA 457 SEP IRA Annuity Roth IRA

Custodian (ie. Fidelity)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Custodian\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Broker Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Broker Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Acct#\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Acct#\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Estimated Acct Balance\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Estimated Acct Balance\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Amount to Rollover\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Amount to Rollover\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**New Corporation Information**State to incorporate in:\_\_\_\_\_   
Corp Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Physical Address (if different)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
1st Choice- Corporate Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
2nd Choice- Corporate Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Trade Name (dba)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Corp name-ending preference: \_\_\_Inc\_\_\_Incorporated\_\_\_Co\_\_\_Company\_\_\_Corporation\_\_Ltd

**Officers:** (can be one individual) **Directors:** (canbe one individual)President\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Secretary\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Treasurer\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Corporation’s Registered Agent (if other than you)  
Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Will business have more than one owner: N\_\_\_ Y\_\_\_ If yes, # of owners\_\_\_\_  
If yes, # of owners investing retirement funds\_\_\_ # investing non-retirement funds\_\_\_  
Does business involve ownership of real estate Y\_\_\_\_ N\_\_\_\_

**The Business**Startup Y\_\_N\_\_ If yes, franchise Y\_\_N\_\_ If yes, Franchise name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
 If yes, franchise sales rep or broker name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Already Own – If yes, Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
 If yes, county/state\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ #FT EE’s\_\_\_\_\_\_ #PT EE’s\_\_\_\_\_\_\_\_  
Buying existing – If yes, Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
 If yes, county/state\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ #FT EE’s\_\_\_\_\_\_ #PT EE’s\_\_\_\_\_\_\_\_  
 If yes, Purchase Price $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
 Personal savings$\_\_\_\_\_\_\_\_\_\_\_\_ SBA loan $\_\_\_\_\_\_\_\_\_ Other loans $\_\_\_\_\_\_\_\_\_  
\*If applying for a loan for the business purchase, has it been approved yet? Yes\_\_\_\_ No\_\_\_\_  
If no, when do you anticipate getting the formal approval from the bank? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
**Desired time frame to complete this transaction**: \_\_\_\_30 days or less \_\_\_\_ 31-60 days **Related Businesses**Do you, your spouse, or other investors have an ownership interest in any other business entities (incl sole proprietorships or inactive entities) Yes\_\_\_\_ No\_\_\_\_  
If yes, please provide information on each entity below. If more than 2, please use add’l sheet  
Business Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Business Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
State Filed in\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State Filed in\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Entity type\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Entity type\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Active: Yes\_\_\_\_ No\_\_\_\_ Active: Yes\_\_\_\_ No\_\_\_\_  
Your ownership% \_\_\_\_\_\_\_\_\_\_ Your ownership% \_\_\_\_\_\_\_\_\_\_\_\_  
Your spouse/partner ownership%\_\_\_\_\_\_\_\_ Your spouse/partner ownership%\_\_\_\_\_\_\_\_\_   
#FT EE’s \_\_\_ #PT EE’s \_\_\_1099 Contractors\_\_\_ #FT EE’s\_\_\_ #PT EE’s\_\_\_ 1099 Contractors\_\_\_   
Type of retirement plan (if any) \_\_\_\_\_\_\_\_\_\_\_\_\_ Type of retirement plan (if any) \_\_\_\_\_\_\_\_\_\_\_  
Will this business interact with the new corp Will this business interact with the new corp  
in any way Yes\_\_\_ No \_\_\_ in any way Yes\_\_\_ No\_\_\_  
If yes, please explain:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ If yes, please explain:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
  
**Please scan/email to: bob@pensionpros401k.com** OR **Fax to: 1-949-377-3032**